



04-2109

Please type a plus sign (+) inside this box →



PTO/SB/21 (6-99)

Approved for use through 09/30/2000. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/663,358	
	Filing Date	September 15, 2003	
	First Named Inventor	Riaziat et al.	
	Group/Art Unit	2874	
	Examiner Name	Unassigned	
Total Number of Pages in This Submission		Attorney Docket Number	25910-721.201

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Notice to File Missing Parts under 37 CFR 1.53(b)	<input type="checkbox"/> Assignment & Recordation Cover Form <input type="checkbox"/> Declaration For Utility Patent Application <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney By Assignee <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (<i>Appeal Notice, Brief, Reply Brief</i>) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (<i>please identify below</i>): <div>Itemized return postcard, Form PTO/SB/08A and copies of 15 references.</div>
Remarks The Commissioner is hereby authorized to charge and credit deposit account 23-1415 (Attorney Docket No. 25910-721.201) for any charge of credit, overpayment, or any additional fees required.		

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual name	U.P. Peter Eng, Reg. No. 39,666 WILSON SONSINI GOODRICH & ROSATI		
Signature			
Date	4/15/04	Customer Number:	021971

CERTIFICATE OF EXPRESS MAIL

I hereby certify that this correspondence is being deposited with the United States Postal Service Post Office to Addressee on the date indicated below and addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 Express Mail Label No. EV 333 489 616 US.			
Typed or printed name	Tami O'Bryant		
Signature		Date	19 April 2004

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

EXPRESS MAIL LABEL NO.: EV 333 489 616 US

PATENT

Attorney Docket No. 25910-721.201

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application)

PATENT APPLICATION

Inventor(s): Riazat et al.)

Application No.: 10/663,358)

Art Unit: 2874

Filed: September 15, 2003)

Examiner: Unassigned

Title: ACTIVE AND PASSIVE TO-CAN
EXTENSION BOARDS)

Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

Applicant(s) reserve(s) the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

☒ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):

☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)

-- OR --

☐ (2) It is being filed within 3 months of entry of a national stage

-- OR --

☒ (3) It is being filed before the mail date of the first Office Action on the merits

-- OR --

☐ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

☐ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:

☐ a certification as specified in §1.97(e) is provided below; or

☐ a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:

A. a certification as specified in §1.97(e) is completed below; and

B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; and

C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.

☒ Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:

☐ In view of the voluminous nature of references, and the likelihood that these references are available to the Examiner in the file history of the parent application (Serial No.), copies are not enclosed herewith.

☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

☒ Copies of only foreign patent documents and non-patent literature are enclosed in accordance with 37 CFR 1.98 (a)(2). (The U.S. patents and each U.S. patent application publication listed on the attached Form PTO-1449 are not enclosed

because this U.S. patent application was filed after June 30, 2003 or this international application has entered the national stage under 35 USC §371 after June 30, 2003 (see USPTO waiver of requirement under 37 CFR 1.98 (a)(2)(i).

- ☐ There are no listed references which are not in the English language.
 - ☐ The relevance of those listed references which are not in the English language is as follows:
 - ☐ Attached are copies of search report(s) from corresponding patent application(s), which are listed on the attached Submission Under MPEP 609 D.
 - ☐ Attached are the following non-published pending patent applications which may be deemed relevant, which are listed on the attached Submission Under MPEP 609 D.
- ☒ *Fee Authorization.* The Commissioner is hereby authorized to charge the above-referenced fees of \$0.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 23-2415 (Docket No. 25910-721.201).

Respectfully submitted,

WILSON SONSINI GOODRICH & ROSATI

Dated: _____

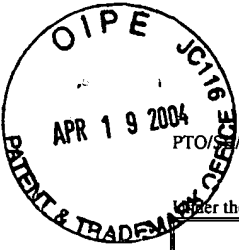
4/19/04

By: _____



U.P. Peter Eng, Reg. No. 39,666

650 Page Mill Road
Palo Alto, CA 94304-1050
(650) 493-9300
Customer No. 021971



PTO/SF/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. Department of Commerce
Under the paperwork Reduction Act of 1995, no persons required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application No.	10/663,358
				Filing Date	September 15, 2003
				First Named Inventor	Riazat et al.
				Art Unit	2874
				Examiner Name	Unassigned
Sheet	1	of	3	Attorney Docket No.	25910-721.201

U.S. PATENT DOCUMENTS					
Examiner's Initials	Cite No. ¹	Document No.	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US-2001/0017964-A1	08/30/2001	Setoguchi	
		US-2001/0021054-A1	09/13/2001	Lee	
		US-2002/0090013-A1	07/11/2002	Murry et al.	
		US-2002/0141142-A1	10/03/2002	Rookes	
		US-2002/0180956-A1	12/05/2002	Barker	
		US-2002/0181522-A1	12/05/2002	Rookes et al.	
		US-2003/0002547-A1	01/02/2003	Lee	
		US-2003/0002826-A1	01/02/2003	Cohen et al.	
		US-2003/0020998-A1	01/30/2003	Kuczynski	
		US-2003/0021310-A1	01/30/2003	Harding	
		US-2003/0086243-A1	05/08/2003	Harding	
		US-2003/0099273-A1	05/29/2003	Murry et al.	
		US-2004/0026757-A1	02/12/2004	Crane, Jr. et al.	
		US-2004/0037334-A1	02/26/2004	Funada et al.	
		US-4,949,930	02/05/1991	Nakagawa et al.	
		US-5,235,248	08/10/1993	Clark et al.	
		US-5,537,504	07/16/1996	Cina et al.	
		US-5,744,848	04/28/1998	Harazono	
		US-5,838,703	11/17/1998	Lebby et al.	
		US-6,031,253	2/29/2000	Kobayashi	
		US-6,074,102	06/13/2000	Oikawa	
		US-6,227,723-B1	05/08/2001	Masuda et al.	
		US-6,302,596-B1	10/16/2001	Cohen et al.	
		US-6,314,117-B1	11/06/2001	Heim et al.	
		US-6,420,205-B1	07/16/2002	Sawai	
EXAMINER SIGNATURE			DATE CONSIDERED		

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional) 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST .3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

2769951_1.DOC

Attorney Docket No. 25910-721.201

Under the paperwork Reduction Act of 1995, no persons required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete if Known		
				Application No.	10/663,358	
				Filing Date	September 15, 2003	
				First Named Inventor	Riaziat et al.	
				Art Unit	2874	
				Examiner Name	Unassigned	
Sheet	2	of	3	Attorney Docket No.		25910-721.201

U.S. PATENT DOCUMENTS					
Examiner's Initials	Cite No. ¹	Document No.	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-6,426,591-B1	07/30/2002	Yanagisawa et al.	
		US-6,526,078-B2	02/25/2003	Lee	
		US-6,527,460-B2	03/04/2003	Cohen et al.	
		US-6,542,647-B2	04/01/2003	Minemoto et al.	
		US-6,611,541-B2	08/26/2003	Rookes et al.	
		US-6,654,394-B1	11/25/2003	Sellin et al.	
		US-6,700,138-B2	03/02/2004	Crane, Jr. et al.	

FOREIGN PATENT DOCUMENTS						
Examiner's Initials	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
		JP 02 222185 A (abstract)	09/04/1990	Nippon Telegr & Teleph Corp.		
		JP 05 110201 A (abstract)	04/30/1993	NEC Corp.		
		JP 07 122808 A (abstract)	05/12/1995	Tera Tec:KK		
		JP 2001/060735 A	03/06/2001	Kyocera Corp.		
		JP 2001/185636 A	07/06/2001	Kyocera Corp.		
		JP 2003/078065 A	03/14/2003	Kyocera Corp.		
		JP 2003/100923 A	04/04/2003	Kyocera Corp.		
		JP 2003/158329 A	05/30/2003	Kyocera Corp.		
		JP 2003/218445 A	07/31/2003	Kyocera Corp.		
		JP 2003/282755 A	10/03/2003	Kyocera Corp.		
		WO 2002/078409 A1	10/03/2002	Telefonaktiebolaget LM Ericsson		
EXAMINER SIGNATURE				DATE CONSIDERED		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Under the paperwork Reduction Act of 1995, no persons required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete if Known	
				Application No.	10/663,358
				Filing Date	September 15, 2003
				First Named Inventor	Riazat et al.
				Art Unit	2874
				Examiner Name	Unassigned
Sheet	3	of	3	Attorney Docket No.	25910-721.201

OTHER PRIOR ART – NON PATENT RELATED DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the Item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s) publisher city and/or country where published	T ²
		Ariga et al., 10Gbps Operation of TO-Can Packaged 850nm Oxide Confined VCSEL, Yokohama R & D Lab., The Furukawa Electric Co., Ltd, paper no. Th13, pgs. 726-727, 2001.	
		Ebberg et al., High Performance Optical Receiver Module for 10Gbit/s Applications with Low Cost Potential, Electronics Letters, vol. 36, no. 8, 13 April 2000.	
		Ebberg et al., 10Gbit/s Transmission Using Directly Modulated Uncooled MQW Ridge Waveguide DFB Lasers in TO Package, Electronics Letters, vol. 36, no. 17, 17 August 2000.	
		Active Devices: VCSELs Shift Focus to 10 Gbit/s Market, FiberSystems International, pg. 39, November 2001.	
EXAMINER SIGNATURE		DATE CONSIDERED	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.